ARIZONA DEPARTMENT OF WATER RESOURCES OFFICE OF DAM SAFETY AND FLOOD MITIGATION



JANET NAPOLITANO Governor

HERB GUENTHER Director

CHECKLIST OF ITEMS REQUIRED FOR A COMPLETE APPLICATION

Name	of Dam:	Owner of Da	m:
Applic	cation No [Application No. and Date Filed to be filled	Date Filed: _1 in by Arizona De	partment of Water Resources]
	<u>Inst</u>	ructions	
R12-15-120	ist is primarily applicable to significant and high hazard poly(A)(2), 1215 and 1216. All items and/or the designated w and very low hazard potential dams in accordance with	level of design det	ail may not be required for all applications, including
process. An Γitle 45-W	which identifies items required for a complete application by omissions or errors do not relieve the applicant from collaters, Chapter 6 and A.A.C. Title 12–Natural Resource additional information, beyond the items delineate	omplying with appl rces, Chapter 15-	licable sections of Arizona Revised Statutes (A.R.S.) -Department of Water Resources. The Director
locuments.	ne following checklist by indicating to the left that the iten If a checklist item does not apply, indicate N/A and provipon the applicant's request.		
Example			
<u>Y</u>	<u>Surface Water Diversion Plan</u> - Details of the plan fo diversion of surface water during construction, if rec		See Page 7 and Appendix C of the design report & Section 1036 of the specifications
	I. GENE	RAL ITEMS	
	<u>Application Form</u> – Complete and submitted in duplicat [Ref. A.R.S. §§ 45-1203(B), 1206(A); A.A.C. R12-15-1 1209(E), 1210(A)(1), 1210(B)(1), 1211(A)(1)]		
	<u>Fee</u> –The fee must be based upon the total estimated proassociated with construction of the dam and appurtenant Preliminary investigations and surveys, engineering desof construction and any other engineering costs shall be project construction costs (refer to "Instructions for Filin Application"). [Ref. A.R.S. § 45-1204; A.A.C. R12-15-1208(A)(3), 1210(A)(2), 1210(B)(2), 1211(A)(4)]	t works. ign, supervision included in the ng an	

Dam Safety Section st for Application No	
Two Sets (minimum) of Construction Drawings [Ref. A.R.S. §§ 45-1203(A), 1206(A); A.A.C. R12-15-1208(A)(5), 1209(E)(1), 1210(A)(6), 1211(A)(6), 1215(1)]	
Two Sets (minimum) of Construction Specifications [Ref. A.R.S. §§ 45-1203(A), 1206(A); A.A.C. R12-15-1208(A)(6), 1210(A)(7), 1215(2)]	
Two Design Reports (minimum) [Ref. A.A.C. R12-15-1208(A)(7), 1210(A)(8), 1215(3)]	
Two Sets (minimum) of Construction Quality Assurance (CQA) Plan [Ref. A.A.C. R12-15-1208(A)(8), 1210(A)(9), 1212(C), 1215(2)(e)]	
Two Sets (minimum) of Evidence of Financial Capability – Consists of a long-term budget plan and evidence of financing, prepared using customary accounting principles, that demonstrate that the applicant has the financial capability to construct, operate and maintain the dam in a safe manner. [Ref. A.A.C. R12-15-1208(A)(10)] Two Sets (minimum) of the Construction Schedule	
[Ref. A.R.S. §§ 45-1203(E), 1206(A)] Two Sets (minimum) of the Emergency Action Plan, Operation and Maintenance Plan, and Instrumentation Plan – These documents, if not ready for submittal with the application filling, may be submitted during construction. [Ref. A.R.S. § 45-1203(E); A.A.C. R12-15-	
Drawings, Specifications, CQA Plan and Design Report Sealed by P.E. The drawings, specifications, CQA Plan and design reports (each of which are described in detail below) must be prepared by a professional engineer registered in Arizona to a level of detail appropriate for construction. The design engineer must be experienced in the design and construction of dams. The engineer's seal and signature must appear on all drawings, specifications and engineering reports, and	
conform to the requirements of the Arizona State Board of Technical Registration. A preliminary review set of drawings submitted with the application may also be stamped "preliminary" and/or "not for construction" in accordance with the rules of the Arizona State Board of Technical Registration. [Ref. R4-304; A.A.C. R12-15-1215(1)(a), 1215(2)(a), 1215(3)(a)]	

II. CONSTRUCTION DRAWINGS

l details a mylar fo	should be prepared on conventional drafting material such that clear, legible and dimensions required to construct the dam in accordance with the engineer final approval will be satisfactory. The following drawings should be included to the design. [Ref. A.A.C. R12-15-1208(A)(5), 1209(E)(1), 1209(F)(1), 1	rs design. Submittal of blue line prints, black line printed. List additional drawings in this section if
	<u>Dam Safety Section Approval Block</u> – In preparing the drawings, each sheet should contain the normal title block in the lower right hand corner as well as a space 1" high x 4" wide in proximity to the lower right hand corner for the Department's approval stamp.	
	Topographic Map - A topographic map(s) of the dam, spillway, outlet works and reservoir on a scale large enough to accurately locate the dam and appurtenances, indicate cut and fill lines, and show property lines and ownership status of the land. Elevations must be to a national datum base, such as mean sea level, rather than an assumed elevation. Contour intervals must be compatible with the height and size of the dam and its appurtenances as required to provide adequate design and construction details. Horizontal control must be in accordance with the State coordinate system and/or per latitude and longitude. [Ref. A.A.C. R12-15-1215(1)(b)]	
	Reservoir Area and Capacity Curves – The area-capacity curves shall reflect area in acres and capacity in acre-feet in relation to depth of water and elevation in the reservoir. The spillway invert and top of dam elevations must be shown. The reservoir volume/space functional allocations must also be shown. Alternate scales may be included as required for the owner's use. [(Ref. A.A.C. R12-15-1215(1)(c)]	
	Spillway and Outlet Works Rating Curves and Tables - The spillway rating curve must be at a scale or scales which allow determination of discharge rate (cfs) at both low and high flows as measured by depth of water passing over the control section. [Ref. A.A.C. R12-15-1215(1)(d)]	
	<u>Location Map</u> - A location map showing the dam footprint and all exploration drill holes, test pits, trenches, adits, borrow areas and bench marks with elevations, reference points and permanent ties. This map shall use the same vertical and horizontal control as the "topographic map." [Ref. A.A.C. R12-15-1215(1)(e)]	
	Geologic Information – Geologic information including geologic map(s), profile along the centerline and other pertinent cross sections of the dam site, spillway(s) and appurtenant structures, aggregate and material sources, and reservoir area at scale(s) compatible with the site and geologic complexity, showing logs of exploration drill holes, test pits, trenches and adits. [Ref. A.A.C. R12-15-1215(1)(f)]	
	<u>Dam Plan</u> – Plan(s) of the dam to adequately delineate design and construction details. [Ref. A.A.C. R12-15-1215(1)(g)]	
	Foundation Profile - A foundation profile along the dam centerline at a	

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true scale (vertical=horizontal) showing the existing ground and proposed finished grade (cut and fill) elevations, including anticipated geologic formations. Include any proposed grout and drain holes. [Ref. A.A.C. R12-15-1215(1)(h)]	
<u>Dam Profiles and Sections</u> - A profile and a sufficient number of cross-sections of the dam to delineate design and construction details. Camber, crest details, interior filters and drains, and other zone details must be shown and dimensioned. The profile of the dam may be drawn to different horizontal and vertical scales if required for detail. A maximum section of the dam shall be included; it must be drawn to a true scale (vertical = horizontal). The outlet conduit may be shown on the maximum section if this is typical of the proposed construction. [Ref. A.A.C. R12-15-1215(1)(i)]	
<u>Foundation Plan</u> – Foundation plan(s) showing excavation grades and cut slopes with any proposed foundation preparation, grout and drain holes, and foundation dewatering requirements. [Ref. A.A.C. R12-15-1215(1)(j)]	
Outlet Works – A plan, profile and details of the outlet works, including the intake structure, the gate system, conduit, trashrack, filter diaphragm, concrete encasement and the downstream outlet structure. Include all connection and structural design details. [Ref. A.A.C. R12-15-1215(1)(k)]	
Spillway - A plan, profile, control section and cross sections of the spillway. Include details of any foundation preparation, grouting or concrete work that is planned. A complex control structure, a concrete chute or an energy-dissipating device for a terminal structure will require both hydraulic and structural design details. [Ref. A.A.C. R12-15-1215(1)(1)]	
<u>Drainage Area</u> – Hydrologic data, drainage area and flood routing criteria. [Ref. A.A.C. R12-15-1215(1)(m)]	

III. CONSTRUCTION SPECIFICATIONS

descriptions, placement criteria and construction requirements for all elements of the dam and related structures. [Ref. A.A.C. R12-15-1215(2)(f)(i)]	
Concrete, Grout and Shotcrete Specifications – Include all concrete,	
grout and shotcrete material descriptions, placement and consolidation criteria, temperature controls and construction requirements for all elements of the dam and related structures. [Ref. A.A.C. R12-15-1215(2)(f)(ii)]	
Foundation Specification – Include acceptable material criteria and	
testing, cleaning and treatment. If foundation or curtain grouting is required, include the type of grout, grouting method, special equipment, recording during grouting and foundation monitoring to avoid disturbance from grouting. [Ref. A.A.C. R12-15-1215(2)(f)(iii)]	
Materials Testing – Include in each specification all materials testing to	
be performed by the contractor for pre-qualification of materials for use and acceptance of materials as constructed in place in accordance with specifications. Include all required special performance testing such as water pressure tests in conduits. [Ref. A.A.C. R12-15-1215(2)(f)(iv)]	
Control of Stream During Construction - A plan for control or diversion	
of surface water during construction. The frequency of storm runoff to be controlled during construction may be determined by the design engineer commensurate with the risk of economic loss during construction. [Ref. A.A.C. R12-15-1215(2)(f)(v)]	
<u>Blasting</u> – Criteria for blast monitoring and acceptable blast vibration levels (particle velocities), monitoring equipment and monitoring	
locations must be included for the dam and other vibration sensitive structures and equipment. [Ref. A.A.C. R12-15-1215(2)(f)(vi)]	
<u>Instrumentation</u> – Include material descriptions, placement criteria and	

IV. DESIGN REPORT

A design report is required for all dams and appurtenant structures. The report should include a discussion and definition of the engineering

Classification – The classification under AAC R12-15-1206 of the	
proposed dam, or for the proposed enlargement of an existing dam and reservoir. [Ref. A.A.C. R12-15-1215(3)(b)]	
<u>Hydrology</u> – Hydrologic considerations, including calculations and a	
summary table of data used in determining the required emergency spillway capacity and freeboard, and design of any diversion or	
detention structures. Input and output listings (both hard copy and on diskette) of any computer programs used must be included. Include	
calculations for wave runup and wave setup in the reservoir as well as	
estimated sedimentation rates. [Ref. A.A.C. R12-15-1215(3)(c)]	
Hydraulics - Hydraulic characteristics, engineering data and calculations used in determining the capacities of the outlet works and	
emergency spillway. Input and output listings (both hard copy and on	
diskette) of any computer programs used must be included. Technical references must support any complex hydraulic designs.	
[Ref. A.A.C. R12-15-1215(3)(d)]	
Geotechnical Investigation – Geotechnical investigation and testing of	
the dam site and reservoir basin. Results and analysis of subsurface investigations including logs of test borings and geologic cross	
sections. [Ref. A.A.C. R12-15-1215(3)(e)]	
Blasting Plan – Guidelines and criteria for blasting to be used by the	
contractor in preparing the blasting plan. [Ref. A.A.C. R12-15-1215(3)(f)]	
Surface Water Diversion Plan - Details of the plan for control or	
diversion of surface water during construction. Include a discussion for the basis for selection of the frequency of storm runoff to be controlled	
during construction. [Ref. A.A.C. R12-15-1215(3)(g)]	
<u>Dewatering Plan</u> – Details of the dewatering plan for subsurface water	

<u>Materials Information</u> – Testing results of earth and rock materials, including the location of test pits and the logs of these pits. Strength	
test results must be plotted and the strengths selected for use in stability	
analyses shown. [Ref. A.A.C. R12-15-1215(3)(i)]	
Current Design Discussion and design of the foundation amounting amount	
<u>Grout Design</u> – Discussion and design of the foundation grouting, grout curtain and grout cap based on foundation stability and seepage	
considerations. [Ref. A.A.C. R12-15-1215(3)(j)]	
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Reinforced Concrete Design – Calculations and basic assumptions on	
loads and limiting stresses for reinforced concrete design. Input and	
output listings (both hard copy and on diskette) of any computer	
programs used should be included. [Ref. A.A.C. R12-15-1215(3)(k)]	
Stability Analysis – A discussion and stability analysis of the dam	
including appropriate seismic loading, safety factors and embankment	
zone strength characteristics. Analyses must include both short-term	
and long-term loading on upstream and downstream slopes. Input and	
output listings (both hard copy and on diskette) of any computer	
programs used should be included. Plots of critical failure surfaces as	
well as the zones and phreatic surface used in the analyses must be	
shown on the critical cross section of the embankment. [Ref. A.A.C.	
R12-15-1215(3)(1)]	
Seismicity – The seismicity of the project area and activity of faults in	
the vicinity must be discussed. Both deterministic and statistical	
methods must be utilized and the appropriate seismic coefficient	
identified for use in analyses. [Ref. A.A.C. R12-15-1215(3)(m)]	
Contact Transla Desirar Discussion and desirar of the sustaff transla	
<u>Cutoff Trench Design</u> - Discussion and design of the cutoff trench based on seepage and/or other considerations. [Ref. A.A.C. R12-15-	
1215(3)(n)]	
1215(5)(11)]	
Seepage – Permeability characteristics of foundation and dam	
embankment materials, including calculations for seepage quantities	
through the dam, the foundation and anticipated in the internal drain system. Input and output listings (both hard copy and on diskette) of	
any computer programs used should be included. Copies of flow nets,	<u> </u>
if utilized, must be included. [Ref. A.A.C. R12-15-1215(3)(o)]	
in unized, must be included. [Not. 11.11.0. N12 13 1213(3)(0)]	
Internal Drainage – Discussion and design of internal drainage based	
on seepage quantity calculations. Include instrumentation necessary to	
monitor the drainage system and filter design calculations for	
protection against piping of foundation and embankment materials.	
[Ref. A.A.C. R12-15-1215(3)(p)]	-
English Dartastian English and the Cart	
Erosion Protection – Erosion protection against waves and rainfall runoff must be provided for both the upstream and downstream slopes,	
runou, must be provided for both the libstream and downstream slopes.	

Dam Fo	oundation Treatment and A	Abutment Contact Design	, and			
<u>Spillwa</u>	y Foundation Design - Di	scussion and design of fo	undation			
	ent to adequately compensation			-		
	tion and abutment areas, a a.A.C. R12-15-1215(3)(r)]	nd in the spillway founda	tion area.			
[RCI. A	.A.C. K12-13-1213(3)(1)]					
	onstruction Vertical and Ho	orizontal Movement Syste	<u>ems</u>			
[Ref. A	A.C. R12-15-1215(3)(s)]					
Founda	ation Conditions – Discuss	ion of foundation condition	ons including			
	ential for subsidence, fissu					
and sin	kholes. [Ref. A.A.C. R12	-15-1215(3)(t)]				
Additio	onal Report Section:					
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	V. CON	CTDUCTION OU	I ITW ACCIT	DANCE DI	A NI	
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R, Dam Safety Section klist for Application No	
elements of dam construction. The CQA Plan should identify key inspection items that require the Department's approval. [Ref. A.A.C. R12-15-1212(A), 1212(D), 1212(G)]	
Acceptance and Rejection Criteria - The acceptance or rejection criteria for inspection and testing activities should be clearly stated. The CQA Plan should describe procedures for documenting corrective measures and design changes that require prior approval by the Department. [Ref. A.A.C. R12-15-1212(E), 1212(F)]	
<u>Documentation Requirements</u> - The CQA Plan should include requirements for the submittals of as-built drawings and a completion report, which are required prior to the issuance of a license. [Ref. A.A.C. R12-15-1213]	
VI. CONSTRUCTION SCHEI	DULE
Construction Schedule - A statement of the anticipated sequence and duration of construction operations must be filed in duplicate with the application. [Ref. A.R.S. § 45-1203(E)]	
a and Maintenance (O&M) Plan must be prepared for all dams and their apprinspections and maintenance of the dam and appurtenant structures. The frequency systems must also be specified. Equipment must be exercised and inspector submerged facilities such as intake structures or outlet pipes must also be tred depending on the size of the dam or reservoir, hazard classification or collowing: [Ref. A.R.S. § 45-1212; A.A.C. R12-15-1205(D), 1208(B)]	equency for exercising any mechanical or electrical ed at least once each year. The frequency of specified. More frequent inspections and operation
<u>Dam Structure (Earth & Rockfill)</u> – Settlement, slides, depressions, misalignment, cracking (transverse and longitudinal), burrowing animals, erosion, seepage and adequacy of slope protection.	
<u>Dam Structure (Concrete & Masonry)</u> – Cracking, spalling, scaling, joint displacement or offsets, foundation and abutment contacts displacement or offset, seepage and adverse vegetation.	
<u>Metal Surfaces</u> – Corrosion, deficient protective coatings, misaligned or split seams. Includes gates, stairs and ladders, handrails, pipe, drainage culverts, instrumentation pipes or hardware, drainage culverts, bridges, etc.	
<u>Spillways</u> – Spillway control structures (gates, concrete sills, flash boards, etc.), approach channels, main channels, stilling basins and	

Outlet Works - Includes buildings or structures that enclose the outlet	
works and submerged facilities such as intake structures.	
<u>Downstream Channel Areas</u> – Sloughing, eroding or backcutting,	
obstructions, adequacy of erosion protection and tailwater, and flow conditions.	
conditions.	
Reservoir Rim Area – Areas susceptible to slides or major rock falls	
that could result in overtopping of the dam or significant releases.	
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Site Security – Fencing, surveillance cameras, security patrols, etc.	
	,
<u>Instrumentation</u> – Description of the instrumentation system(s) that is	
part of the performance monitoring system for the dam and all appurtenant structures. The O&M Plan must clearly separate	
instruments and reading frequencies for the following conditions: (a)	
during construction, (b) immediately following completion of	
construction, (c) until initial reservoir fill is completed, and (d) long term monitoring. Vertical and horizontal movement monitoring of the	
dam must be performed, as a minimum. The design, construction and	
geological conditions of the dam may require other instrumentation, such as monitoring wells, piezometers, inclinometers, pressure cells,	
extensometers, crack monitors, seepage or drainage monitors, and	
strong motion (seismograph).	
<u>Log Book</u> - A logbook must be maintained for the life of the dam. The	
logbook must be part of the dam's permanent records and must be used to document each inspection, maintenance work performed and record	
of equipment operation (exercising). Each entry in the logbook must	
include the date, a description of the inspection and operation or maintenance work done, and shall be signed by the responsible person.	
Dates when instrumentation readings are taken and person taking	
readings must be recorded in the logbook.	
Annual Report – The owner or operator providing an annual report to	
ADWR, Office of Water Engineering, must list all inspections made, maintenance work performed, instrumentation data collected and dates	
of same. The report must include an interpretation of the	_
instrumentation data by a person qualified to evaluate the data of the	
dam's performance. The report must include the significance of the instrumentation data and a discussion of planned maintenance or	
repairs at the dam.	
Photographic Record - The owner or operator maintaining complete	
photographic record of sufficient detail that would typically show the	

ADWR, Dam Safety Section

Dam Safety Section st for Application No	
extent of cracks in concrete, erosion of embankments or condition of metal parts. Photos must be taken on a five-year interval (minimum) and must be maintained for the life of the dam. A complete set of the photos (minimum $3\ 1/2\ x\ 5$ inches in size) must be provided to ADWR when taken and included as part of the annual report for that year.	
VIII. EMERGENCY ACTION	PLAN
ried as having high or significant downstream hazard potential must file an appearance. The EAP must be filed in duplicate and, at a minimum, include the following the filed in duplicate and appearance in the filed in th	
 Notification Flow Chart – The EAP should include a chart showing the hierarchy for notification in an emergency situation, including priority of notifications. Notifications should include local emergency response agencies, affected downstream populations, county emergency management agencies and affected flood control districts. [(Ref. A.A.C. R12-15-1221(A)(1)]	
 Statement of Purpose – The EAP must describe the project and scope of the EAP. [Ref. A.A.C. R12-15-1221(A)(2)]	
 Emergency Detection, Evaluation and Action - The EAP must delineate the type of potential unsafe conditions, evaluation procedures and triggering events that require the initiation of partial or full emergency notification procedures based on the urgency of the situation. [Ref. A.A.C. R12-15-1221(A)(3)]	
 <u>Responsibilities</u> – The EAP should delineate areas of responsibility, particularly the owners, to ensure effective and timely action. The individuals responsible for notifications and declaring an emergency must be clearly identified. [Ref. A.A.C. R12-15-1221(A)(4)]	
 Notification Procedures – The EAP should be specific for each emergency situation that is anticipated. [Ref. A.A.C. R12-15-1221(A)(5)]	
 <u>Preparedness</u> - The EAP should identify emergency supplies and resources, equipment access to the site and alternative means of communication. The EAP should also identify specific preparedness activities required such as annual full or partial mock exercises and updates of the EAP. [Ref. A.A.C. R12-15-1221(A)(6)]	
 <u>Inundation Map</u> – An inundation map should show the area that would be subject to flooding due to spillway flows and dam failure. [Ref. A.A.C. R12-15-1221(A)(7)]	

IX. OTHER PERMITS

Chata Transit I and I fishe days in the heart manufacture of an array material for	
<u>State Trust Land</u> - If the dam is to be constructed on, any materials for the dam to be borrowed from or the reservoir will inundate State Trust Land; contact the State Land Department at (602) 542-4621 for details of their requirements.	
<u>Federal Land</u> - If the dam is to be constructed on, any materials for the	
dam are to be borrowed from or the reservoir will inundate federal land, contact the appropriate federal agency for details of their requirements.	
Water Rights - If surface waters are to be impounded, contact the Arizona Department of Water Resources, Office of Water Engineering,	
at (602) 417-2445 for details.	
Corps 404 Permit – Any significant work in or affecting a stream may	
require a A404 Permit. Contact the U.S. Army Corps of Engineers for details.	-
<u>Corps 401 Certification</u> - A 401 Certification from the Arizona Department of Environmental Quality is required before a 404 Permit can be obtained to ensure that federal activities do not violate state	
water quality standards.	
Geotechnical Exploration Holes, Monitoring and Piezometers Wells - Certain types of drilled holes require permits and/or must be abandoned in accordance with prescribed procedures. For details, contact the	
Arizona Department of Water Resources, Groundwater Management Support Section, (602) 417-2470.	
<u>Dewatering Wells</u> – If dewatering of the dam foundation is required, contact the Arizona Department of Water Resources, Groundwater	
Management Support Section, (602) 417-2470.	
structure, which will divert, retard or obstruct the flow of water, will	
Floodplain Management - Any activity in a floodplain requires a floodplain use permit from the local flood control district. Any structure, which will divert, retard or obstruct the flow of water, will require an in-depth review by a flood control district before issuance of the permit. Removal of a dam will also require an in-depth review. Contact the local flood control district.	
rchaeological Clearance - Any activity, which involves ground	

ADWR, Dam Safety Section Checklist for Application No	
disturbance, requires prior clearance regarding cultural resources sensitivity and treatment from the State Historic Preservation Officer. Contact the Arizona State Parks, (602) 542-4174.	